Seraph v4.1
by Tower Technology, Inc.

Seraph Summary Report

The Joint Interoperability Test Command tested Seraph version (v) 4.1, a stand-alone records management application (RMA), at Tower Technology Inc.'s facility in Boston, Massachusetts from 22 through 27 June 2003. The implementation was verified using version 7.0 of the Test Procedures and was compliant with DOD 5015.2-STD, dated June 2002. All mandatory requirements were satisfied.

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1. Product Identification

Seraph v4.1, hereafter referred to as Seraph, is a web-based records management application.

2. Test Configuration

The baseline configuration consisted of:

- One server running the Microsoft (MS) Windows 2000 Server operating system (OS), Oracle 9i, BEA WebLogic 7, Seraph 4.1, MS Internet Explorer (IE) 6.0, and MS Office 2000.
- One server running the MS Windows 2000 Server OS and MS Exchange 2000.
- One laptop computer running the MS Windows 2000 Professional OS, MS IE 6.0, and MS Office 2000.

3. RMA Mandatory Requirements

3.1 Managing Records [C2.1.1.]

Seraph manages electronic, non-electronic, and e-mail records. It stores electronic records in its repository and maintains them in their original, native file format. Users maintain records stored on other media, such as paper, diskette, and tape by adding metadata through the user interface.

3.2 Accommodating Dates and Date Logic [C2.1.2.]

Seraph stores and displays dates using a 4-digit year format, and recognizes leap years including the year 2000. It accepts user input of valid dates from current, previous, and future centuries.

3.3 Implementing Standard Data [C2.1.3.]

Seraph provides the capability to implement standard data. Records managers can configure Seraph with all the data elements as defined in DoD 5015.2-STD and additional fields for custom use. The additional fields can consist of text, date, string, or numeric fields.

3.4 Backward Compatibility [C2.1.4.]

This is the first test for this product against version two of DoD 5015.2-STD, therefore test data was not available to verify backwards compatibility.[1]

3.5 Accessibility [C2.1.5.]

Tower Technology provided the 508 Voluntary Product Accessibility Templates (VPATS) provided as Appendix C in the detailed test report.

3.6 Implementing File Plans [C2.2.1.]

Seraph provides the required capabilities for creating and maintaining disposition instructions and file plans. Subcomponents under the file plan categories inherit the same disposition instruction.

3.7 Scheduling Records [C2.2.2.]

Seraph automatically tracks the disposition schedules for screening and disposition processing. Records managers reschedule records by assigning a different disposition instruction to the record or altering the retention period (which reschedules all records associated that schedule).

3.8 Declaring and Filing Records [C2.2.3.]

Users file electronic records through the Seraph interface. Seraph assigns a unique record identifier and a date stamp to each record. The date stamp serves as the required Date Filed field. Users cannot modify either field.

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[1] Backward Compatibility is a new requirement in the June 2002 version of DoD 5015.2-STD.

3.9 Filing E-mail Records [C2.2.4.]

Seraph provides the capability to file e-mail messages from MS Outlook. It automatically captures message transmission and receipt data to populate the Author/Originator, Addressee(s), Other Addressee(s), Subject/Title, Publication Date, and Date Received record profile fields.

When filing e-mail messages with attachment(s), users have the following filing options:

- E-mail Only. Stores the e-mail and attachment(s) as a single record.
- E-mail and Each Attachment as a Record. Stores the e-mail (which does not include the attachments) separately in its native file format. To file each attachment separately, the user needs to save each attachment separately and then uses Seraph's linking and associating feature.

3.10 Storing Records [C2.2.5.]

The Seraph Repository uses the database management system for storing and preserving electronic records. The permissions granted at the record category and system levels determine who has access to the records and what they can do with those records. Only users with appropriate access can delete records from the repository.

3.11 Screening Records [C2.2.6.1.]

Records managers perform screening functions using the Manage File Plan Lifecycle section of the Records Management window. From here, they design queries for information relating to folders or records that are qualified for disposition, including transfers, accession, or destruction.

3.12 Closing Record Folders [C2.2.6.2.]

Seraph offers records managers and privileged users the ability to close record folders by assigning edit privileges to folder metadata. Privileged users can only close records folders in the records categories to which they have been assigned folder management privileges.

3.13 Cutting Off Record Folders [C2.2.6.3.]

Authorized users cut off record folders using the Manage File Plan Lifecycle windows of the Records Management screen. Authorized users design queries for information relating to records folders that are due for cut off. In the search results screen, users select the record folders and the Perform Cutoff Now option. After performing the cut off, users then search for the record folders currently due for cut off and select the Approve Cutoff option.

3.14 Freezing/Unfreezing Records [C2.2.6.4.]

Seraph provides the capability for authorized users to freeze and unfreeze records through the Manage File Plan Lifecycle section of the Records Management screen. Users create new records folders for the records being frozen, move the records into these record folders, and then select the Freeze Disposition option to freeze the records.

3.15 Transferring Records [C2.2.6.5.]

The records manager uses the Manage File Plan Lifecycle section of the Records Management screen to search for records due for transfer, selects them, and verifies that they should be transferred. Seraph writes the affected electronic records and record metadata to a specified directory. The extracted metadata is in XML format.

3.16 Destroying Records [C2.2.6.6.]

The records manager uses the Manage File Plan Lifecycle section of the Records Management screen to search for records due for destruction, selects them, and verifies that they should be destroyed. The records manager has the option of retaining the record metadata.

Records cannot be reconstructed once they have been deleted.

3.17 Cycling Vital Records [C2.2.6.7.]

Seraph provides the capability for authorized users to gather vital records based on cycling dates. During the test, Tower Technology attached logic to the vital record review date field that sent an e-mail message to a specified records manager when the folders were due for vital records review.

3.18 Searching for and Retrieving Records [C2.2.6.8.]

Seraph provides the required capability for searching for and retrieving records. Seraph allows users to export copies of the records to their hard drives.

3.19 Access Control [C2.2.7.]

Records managers assign Seraph functional access to files, folders, and/or documents at the user and/or group level. Permissions are set at the record category or folder level to assign file, and/or search and retrieve access to users/groups.

3.20 System Audits [C2.2.8.]

Seraph provides the required system audit reporting capabilities using the Event Logging section in the System Administration screen in the Seraph interface. Administrators control access to the audit logs by assigning access to those users who require audit reporting capabilities.

3.21 System Management Requirements [C2.2.9.]

MS Windows 2000 Server operating system and the Oracle 9i database management system provided the required system management capabilities.

4. Non-Mandatory Features Demonstrated

4.1 On-Line Help [C3.2.5.]

Help is context sensitive and searchable.

4.2 Web Capability [C3.2.15.]

Seraph is a web-based solution. The application is available through MS Internet Explorer and requires BEA WebLogic to serve the pages.

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